

<b>Notice of Allowability</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	09/495,509	KARCH, ROBERT	
	<b>Examiner</b>	<b>Art Unit</b>	
	Zachary A. Davis	2137	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to RCE received 14 April 2006 and Supplemental Amendment received 29 June 2006.
2. ☒ The allowed claim(s) is/are 1-20 and 22-47.
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
  - a) ☐ All    b) ☐ Some\*    c) ☐ None    of the:
    1. ☐ Certified copies of the priority documents have been received.
    2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
    3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\* Certified copies not received: \_\_\_\_\_.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.  
**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
  5. ☐ CORRECTED DRAWINGS ( as "replacement sheets") must be submitted.
    - (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review ( PTO-948) attached
      - 1) ☐ hereto or 2) ☐ to Paper No./Mail Date \_\_\_\_\_.
    - (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.
- Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

#### Attachment(s)

- |   |  |
|---|--|
| 1. <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)   | 5. <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)                                  |
| 2. <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                | 6. <input checked="" type="checkbox"/> Interview Summary (PTO-413),<br>Paper No./Mail Date <u>20060614</u> . |
| 3. <input type="checkbox"/> Information Disclosure Statements (PTO-1449 or PTO/SB/08),<br>Paper No./Mail Date _____ | 7. <input type="checkbox"/> Examiner's Amendment/Comment   |
| 4. <input type="checkbox"/> Examiner's Comment Regarding Requirement for Deposit<br>of Biological Material          | 8. <input checked="" type="checkbox"/> Examiner's Statement of Reasons for Allowance                         |
|   | 9. <input type="checkbox"/> Other _____.   |

## **DETAILED ACTION**

### ***Continued Examination Under 37 CFR 1.114***

1. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 14 April 2006 has been entered.
2. By the above submission, Claims 1 and 3-8 have been amended. No claims have been added or canceled.

### ***Response to Amendment***

3. A supplemental reply was received on 29 June 2006, pursuant to the telephonic interview of 14 June 2006. Although a supplemental reply is not entered as a matter of right, the reply of 29 June 2006 will be entered because it is clearly limited to adoption of the Examiner's suggestions and because it places the application in condition for allowance. See 37 CFR 1.111(a)(2).

4. By the above reply, Claims 1, 7, 8, and 10 have been further amended. No claims have been added or canceled. Claims 1-20 and 22-47 are currently pending in the present application.

***Allowable Subject Matter***

5. Claims 1-20 and 22-47 are allowed.

6. The following is an examiner's statement of reasons for allowance:

Independent Claim 1 is directed to a method of enforcing security policies in a data access system in which a first condition is defined and, when the first condition occurs, a rule that precludes an action if a second condition occurs is loaded into the memory of the system. Independent Claim 8 is similarly directed to an apparatus for enforcing security policies that substantially corresponds to the method of Claim 1. Independent Claim 10 is directed to a method of enforcing confidentiality in which a rule is stored that prohibits a party from accessing information if a first condition occurs and the rule is loaded into management software upon occurrence of the first condition. The previously cited prior art discloses similar methods and apparatus. Specifically, Geiger et al, US Patent 6073142, discloses a method using a database of rules to implement organizational policies. Sandhu, "Transaction Control Expressions for Separation of Duties", teaches the importance of implementing security policies of separation of duties, whereas Sandhu, "Lattice-Based Access Control Models", teaches the importance of enforcing confidentiality through a Chinese Wall policy. Finally, Hudson

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et al, US Patent 6055637, discloses dynamic generation and loading of rules upon a condition and removing the rules when the condition expires (the exemplary condition being the logging on and off of a particular user or role). However, none of the cited art, either alone or in combination, teaches or suggests that the condition or specified action or transaction occurs only after a user's session has begun or after a user is logged in.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

### ***Conclusion***

7. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

a. Coss et al, US Patent 6098172, discloses a security system that can use dynamic rules that are time-limited, one-time use, or determined by a condition; however, Coss is silent as to whether the condition is a transaction or action taking place after a user has logged in.

b. Olden, US Patent 6460141, discloses a security system that uses various "smart rules" to implement security policies, where the rules may be dynamic and time-dependent.

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Any inquiry concerning this communication or earlier communications from the examiner should be directed to Zachary A. Davis whose telephone number is (571) 272-3870. The examiner can normally be reached on weekdays 8:30-6:00, alternate Fridays off.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Emmanuel Moise can be reached on (571) 272-3865. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

*ZAD*  
zad

*E. Moise*  
EMMANUEL L. MOISE  
SUPERVISORY PATENT EXAMINER